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Attorney Docket: 27512U

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Inventor: KRELBAUM et al. Group Art Unit: 2161

Serial No. 10/585,452

Filed: July 07, 2006

Title: **APPARATUS AND METHOD FOR MONITORING
AND AUDITING ACTIVITY OF A LEGACY ENVIRONMENT**

TRANSMITTAL LETTER

Commissioner of Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Submitted herewith for filing in the U.S. Patent and Trademark Office is the following:

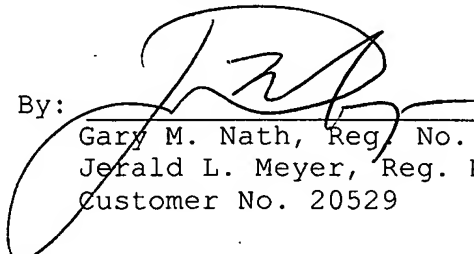
- (1) Information Disclosure Statement;
- (2) Form-1449 with 16 cited References;
- (3) Copy of 4 of the 16 cited References.

The Commissioner is hereby authorized to charge any deficiency or credit any excess to Deposit Account No. 14-0112.

Respectfully submitted,
THE NATH LAW GROUP

Date: February 8, 2007
THE NATH LAW GROUP
112 South West Street
Alexandria, VA. 22314
Tel: 703 548 6284
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GMN/JLM/sw(Ids statement)

By:


Gary M. Nath, Reg. No. 26,965
Jerald L. Meyer, Reg. No. 41,194
Customer No. 20529



MAIL STOP PCT
Attorney Docket No. 27512U

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE .

In re Application of:

Inventor: KRELBAUM et al. Group Art Unit: 2161

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Title: **APPARATUS AND METHOD FOR MONITORING AND AUDITING ACTIVITY
OF A LEGACY ENVIRONMENT**

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

An Information Disclosure Statement is submitted herewith pursuant to 37 C.F.R. 1.97-1.98. Please note the following particulars: [NOTE: One only of items a, b, c, and d must be checked.]

- ☒ a. The enclosed statement is being filed within three months of the filing date of a national application, or within three months of the date of entry into the national stage as set forth in 37 C.F.R. 1.491 in an international application, or before the mailing date of a first Office Action on the merits, whichever event occurs last.
- ☐ b. The enclosed statement is being filed after a first action on the merits but before the mailing date of a final action under 37 C.F.R. 1.113, or a notice of allowance under 37 C.F.R. 1.311.
The enclosed statement is accompanied by [check one]:
☐ i. a certification in part (e) below as specified in 37 C.F.R. 1.97(e), or
☐ ii. a check in the amount required by 37 C.F.R. 1.17(p).
- ☐ c. The enclosed statement is being filed after the mailing date of a final action under 37 C.F.R. 1.113, or a notice of allowance under 37 C.F.R. 1.311, but before payment of the issue fee.
☐ Certification report(e) below; and
☐ a check in the amount as required by 1.17(p).
- ☐ d. The enclosed statement is being filed pursuant to 37 C.F.R. 1.97(i), for placement in the file.

[] e. Certification [Check one] [Certification is required only if box (b)(i) or box (c) is checked.]

[] I hereby certify that each item of information contained in the enclosed Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement,
or

[] I hereby certify that no item of information in the enclosed Information Disclosure Statement herewith was cited in a communication from a foreign patent office in a counterpart foreign application, or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

or

[] Appropriate certification is attached.

[~~XXX~~] f. If no check is enclosed and a fee is due in connection with this communication or if the check enclosed is insufficient, the Commissioner is authorized to charge any fee or additional fee due in connection with this communication to Deposit Account No. 14-0112.

[~~XXX~~] g. Copies of the documents are attached herewith with a completed Form PTO-1449.

or

[] Copies of the documents are not attached as allowed under CFR 1.98(d)(1)(2). The earlier application is identified as:

and / or

[~~XXX~~] Copies of US Patents/Publications not attached as allowed in Official Gazette Aug. 5, 2003/ Vol. 1273, no. 1.

The Examiner is respectfully requested to cite the documents listed on the attached Form PTO-1449 in the next Office Action. In so doing, the Examiner is respectfully requested to initial in the space

adjacent to the listing of each document on the Form PTO-1449, and return a copy of the initialed Form PTO-1449 with the next communication to Applicants, to confirm that these documents have been considered by the Examiner and made of record in this application.

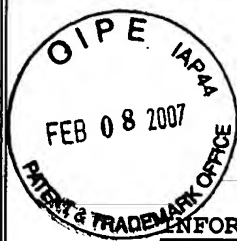
If the Examiner has any questions or wishes to discuss this application, kindly telephone the undersigned at the below-listed number.

Respectfully submitted,
THE NATH LAW GROUP

By: 

Gary M. Nath, Reg. No. 26,965
Jerald L. Meyer, Reg. No. 41,194
Customer No. 20529

Date: February 8, 2007
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FORM PTO-1449

INFORMATION DISCLOSURE CITATIONAtty Docket No.:
27512USerial No.:
10/585,452Inventor:
KRELBAUM et al.Examiner:
UnknownFiling Date:
July 7, 2006Group Art Unit:
2161**U.S. PATENT DOCUMENTS**

Examiner Initial		Document Number	Issue Date	Name	Class	Sub-Class	Filing Date
	A1	6,192,411 B1	20 Feb. 2001	Chan et al.			9 Nov. 1999
	A2	5,228,122	13 Jul. 1993	Cahn et al.			5 Mar. 1992
	A3	4,575,793	11 Mar. 1986	Morel et al.			19 Aug. 1983
	A4	2003/0110394 A1	12 Jun. 2003	Sharp et al.			20 Feb. 2002
	A5	6,044,401	28 Mar. 2000	Harvey			20 Nov. 1996
	A6	6,205,416 B1	20 Mar. 2001	Butts et al.			14 Jan. 1999

FOREIGN PATENT DOCUMENTS

		Document Number	Date	Country	Class	Sub-Class	Translation
	A7	1 211 865 A2	05 Jun. 2002	EP			N/A
	A8	03/073724 A2	04 Sep. 2003	WO			N/A
	A9	02/100039 A2	12 Dec. 2002	WO			N/A

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	A10		
	A11		

Examiner

Date Considered

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP ' 609.
 Draw line through citation if not in conformance and not considered.
 Include copy of this form with next communication to Applicant.

FORM PTO-1449 INFORMATION DISCLOSURE CITATION				Atty Docket No.: 27512U		Serial No.: 10/585,452	
				Inventor: KRELBAUM et al.		Examiner: Unknown	
				Filing Date: July 7, 2006		Group Art Unit: 2161	

U.S. PATENT DOCUMENTS							
Examiner Initial		Document Number	Issue Date	Name	Class	Sub-Class	Filing Date
	A12	5,961,592	5 Oct. 1999	Hsia			17 Sep. 1998
	A13	5,912,669	15 Jun. 1999	Hsia			29 Apr. 1996
	A14	5,634,008	27 May 1997	Gaffaney et al.			18 Jul. 1994
	A15	5,644,717	1 Jul. 1997	Clark			6 Jun. 1995
	A16	6,651,099 B1	18 Nov. 2003	Dietz et al.			30 Jun. 2000
	A17	2003/0135612 A1	17 Jul. 2003	Huntington et al.			17 Jul. 2002

FOREIGN PATENT DOCUMENTS							
		Document Number	Date	Country	Class	Sub-Class	Translation
	A18	02/087124 A1	31 Oct. 2002	WO			N/A
	A19						
	A20						
	A21						

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	A22		

Examiner	Date Considered
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP ' 609.
 Draw line through citation if not in conformance and not considered.
 Include copy of this form with next communication to Applicant.